
REGULATION AND PROCEDURE FOR THE APPOINTMENT OF DEANS AND DEPUTY DEANS

Document type: Regulation
Policy Category: Governance

Document number: R 63/19

CONTENTS

| | |
|--|---|
| 1. INTRODUCTION | 1 |
| 2. TERM OF APPOINTMENT OF DEANS AND DEPUTY DEANS | 2 |
| 3. ACADEMIC STATUS AND TEACHING TASK OF DEANS AND DEPUTY DEANS | 2 |
| 4. DUTIES AND COMPETENCIES, WORK DISTRIBUTION AND DELEGATIONS OF DEANS AND DEPUTY DEANS | 3 |
| 5. APPOINTMENT PROCEDURE FOR DEANS AND DEPUTY DEANS | 3 |
| 6. CANDIDATES' PARTICIPATION IN PROCEEDINGS | 8 |
| 7. APPOINTMENT OF ACTING DEAN AND DEPUTY DEAN | 9 |
| 8. TIME FRAME | 9 |
| 9. REGULATION/POLICY LIFE CYCLE | 9 |
| 10. DOCUMENT METADATA | 9 |

1. INTRODUCTION

Section 34 of the Higher Education Act 101 of 1997 (as amended) reads as follows:

“(1) The council of a public higher education institution must appoint the employees of the public higher education institution. (2) Notwithstanding subsection (1), the academic employees of the public higher education institution must be appointed by the council after consultation with the senate. (3) The council must determine the conditions of service, disciplinary provisions, privileges and functions of the employees of the public higher education institution, subject to the applicable labour law.”

The regulation below is aimed at supporting the Council of the University in terms of the above-mentioned section in carrying out its responsibility for appointing Deans and Deputy Deans who possess the necessary academic stature, strategic leadership traits and management skills. It

applies to all appointments of Deans and Deputy Deans at the University, but will be subject to specific arrangements deviating from the provisions of this regulation which emanate from formal agreements with external partners where applicable in specific Faculties.

As an academic leader, a Dean is responsible for the efficient management of the faculty and as such is part of the senior management team of the University, which team acts in the interests of the University as a whole, the faculty and all those concerned. A Deputy Dean assists the Dean with his or her managerial tasks in the faculty in accordance with clause 3.6 below.

2. TERM OF APPOINTMENT OF DEANS AND DEPUTY DEANS

- 2.1 Deans are appointed on a full-time basis for a term of four (4) years or a period as determined by the Human Resources Committee of Council.
- 2.2 Deputy Deans are appointed on a full-time or part-time basis for a term of four (4) years or as determined for the Dean of the faculty concerned in terms of clause 1.1 above. A Deputy Dean's term of appointment should substantially coincide with that of the Dean but, in the interests of continuity and a smooth transition, should extend at least three but no longer than six months beyond that of the Dean. The introduction or continued existence of a post of Deputy Dean in a faculty, including its full-time or part-time nature, is determined by the Executive and will always be considered or reconsidered on the expiry of a Dean's term of appointment.
- 2.3 If necessitated by circumstances, the Executive may, on the advice of the designated Vice-Principal, extend the term of appointment of a Dean or Deputy Dean for a maximum of one year.

3. ACADEMIC STATUS AND TEACHING TASK OF DEANS AND DEPUTY DEANS

- 3.1 The position of Dean includes an academic appointment on the level of a full professor in his/her discipline in the relevant faculty, and the Dean therefore has the academic status and title of full professor. Similarly, the position of Deputy Dean includes an academic appointment on the level of full, associate or adjunct professor with the associated status and title. Both Deans and Deputy Deans are full members of the Senate.
- 3.2 A Dean and full-time Deputy Dean can have a teaching and research task in the relevant faculty, as approved by the designated Vice-Principal after consultation with the relevant head of the department; or he/she may have a teaching and research task in the faculty in which his/her field of study falls, as approved by the designated Vice-Principal after consultation with the relevant head of department and Dean.
- 3.3 A Dean or full-time Deputy Dean who does not have a teaching and research task in the relevant faculty or the faculty in which his/her field of study falls, may make himself or herself available annually for academic help in the department in which his/her field of study falls, in so far as this is possible for him/her and after the necessary arrangements have been made with the relevant head of department.
- 3.4 A part-time Deputy Dean retains his/her academic appointment at the appropriate level in his or her department and faculty, and his/her academic activities are adjusted by the

Dean and relevant head of department in accordance with the extent of his/her involvement as Deputy Dean.

4. DUTIES AND COMPETENCIES, WORK DISTRIBUTION AND DELEGATIONS OF DEANS AND DEPUTY DEANS

- 4.1 The powers, duties, competencies and conditions of service of Deans are determined by the Human Resources Committee of Council in consultation with the Vice-Chancellor and Principal, and are implemented by the Vice-Chancellor and Principal, in accordance with approved delegations and policy.
- 4.2 The Dean is, by virtue of his/her office, the Chairperson of the Faculty Board and a member of all committees designated by the Faculty Board.
- 4.3 If the Dean is absent from a meeting of the Faculty Board, the Deputy Dean, or in faculties without a Deputy Dean a School Chairperson or, in Faculties without Schools, a Head of Department, designated by the Dean, as the case may be, acts as Chairperson, and in their absence, the meeting chooses a head of an academic department of the Faculty as Chairperson of the meeting.
- 4.4 The Dean of a faculty is, by virtue of his/her office, a member of the Senate Executive. If the Dean is unable to attend a meeting of the Senate Executive, the Deputy Dean, or in Faculties without a Deputy Dean a School Chairperson or, in Faculties without Schools, a Head of Department, designated by the Dean, as the case may be, represents the Faculty at the meeting.
- 4.5 The Dean is competent, in *ad hoc* cases where he or she or the Deputy Dean (as the case may be) is unable to be present to carry out official tasks, to nominate with the prior approval of the designated Vice-Principal, a School Chairperson or head of an academic department of the Faculty to represent him/her in the execution of an official task.
- 4.6 The delegation/work distribution between the Dean and Deputy Dean is normally the prerogative of the Dean, which prerogative shall be exercised against the background of the delegations to Deans and the appropriate supplementary decisions of the Executive and Council in respect of the faculty concerned. In the case of a part-time Deputy Dean, such work distribution further occurs in consultation with the head of the department in which he/she has been appointed.

5. APPOINTMENT PROCEDURE FOR DEANS AND DEPUTY DEANS

5.1 Recruitment

- 5.1.1 When a vacancy for a Dean or full-time Deputy Dean arises in a faculty, the position of Professor and Dean, or Professor/Associate Professor/Adjunct Professor and Deputy Dean, is advertised internally and externally. The Director: Human Resources in consultation with the Vice-Chancellor and Principal and the Senior Vice-Principal, is responsible for the contents and placing of the advertisement.
- 5.1.2 When a vacancy for a part-time Deputy Dean arises in a faculty, the post of Professor/Associate Professor/Adjunct Professor and Deputy Dean is only advertised

internally and only UP members of staff may be considered for appointment as part-time Deputy Deans, unless the Executive approves that the particular vacancy may be advertised internally and externally on the basis of a fully motivated submission to this effect supported by the designated Vice-Principal.

- 5.1.3 A vacancy arises on the expiry of the serving Dean's or Deputy Dean's term of appointment or the termination of service for any reason, provided that a vacancy is not deemed to have arisen after the end of the first term of appointment of a Dean or Deputy Dean, unless the serving Dean or Deputy Dean has indicated that he or she is not available for a further term or has reached the compulsory retirement age. (Refer to clauses 4.8 and 4.9 for the process related to the "Re-appointment of Deans and Deputy Deans for a second successive term".)
- 5.1.4 On expiry of a second or further term of appointment, a vacancy is deemed to have arisen, and the serving Dean or Deputy Dean is free to apply for appointment in the vacancy. (See also clause 4.10 "Re-appointment of Deans and Deputy Deans for a further term".)
- 5.1.5 Besides internal and external advertising, a search campaign, which may include the use of external recruitment companies, can be launched under the guidance of the designated Vice-Principal, or a person designated by the Vice-Chancellor and Principal in consultation with the designated Vice-Principal. Candidates thus recruited will have to apply before 12:00 on the closing date stated in the advertisement.
- 5.1.6 The advertisement for the post must state that the applicant's (1) full *curriculum vitae*, (2) a self-evaluation by the applicant of his/her suitability for appointment in the post, (3) the applicant's vision for the faculty, as well as (4) the names of at least three referees (provided that the University reserves the right to appoint and consult its own referees and will inform applicants of this right) must accompany the application. After submission, the documentation may not be amended without the approval of the designated Vice-Principal.
- 5.1.7 The advertisement for the post must contain a reference to the appointment Regulation and Procedure, including an exposition of the required documentation and the appointment of referees, and must indicate that by applying, the applicants consent to the applicable appointment Regulation and Procedure.

5.2 Shortlisting

5.2.1 A Selection Committee, consisting of:

- the designated Vice-Principal or another Vice-Principal designated by the Vice-Chancellor and Principal in consultation with the designated Vice-Principal as Chairperson;
- the Dean in the case of a vacancy for a Deputy Dean, or the Dean of an associated faculty nominated by the designated Vice-Principal in consultation with the Vice-Chancellor and Principal when the position of Dean is vacant;
- the Dean of another faculty, nominated by the designated Vice-Principal in consultation with the Vice-Chancellor and Principal;
- two members of the relevant Faculty's Recruitment and Selection Committee (the permanent member and his/her alternate) or, in their absence, another member/other members of the Faculty Board, designated by the Faculty Board;
- one student designated by the relevant faculty's class representative system; and

- one union representative for each recognised union designated by the Union (preferably the Chairperson or Secretary),

considers the candidate's suitability for appointment on the basis of the available documentation as set out in clause 4.1.6, and in accordance with the advertised requirements for appointment, and draws up a shortlist of candidates for submission to the Faculty Board.

5.2.2 The Selection Committee may decide, before finalising the list of candidates on the shortlist, to recruit further candidates by means of personal recruitment or with the assistance of recruitment companies within a reasonable time frame to be determined by the Committee.

5.2.3 The *curriculum vitae*, self-evaluation and vision for the faculty of each candidate on the shortlist is placed on the Intranet of the University and is accessible to members of Council, Senate, the Faculty Board, staff and students.

5.3 Consideration by the Faculty Board

5.3.1 The Faculty Board considers all the candidates on the shortlist on the basis of the candidates' *curricula vitae*, self-evaluation and vision for the faculty.

5.3.2 When the Faculty Board considers the application/s of a candidate or candidates on the shortlist, all full members of the Faculty Board are entitled to vote at the meeting.

5.3.3 The Faculty Board votes during one round of voting separately on the suitability for appointment of each candidate, based on the advertised requirements for appointment. Voting takes place by way of sealed ballot under the supervision of the Chairperson of the meeting.

5.3.4 A candidate is deemed suitable for appointment by the Faculty Board if 50% plus 1 (one) of the members present vote in favour of the appointability of a specific candidate. The result of the voting is communicated to members of the Faculty Board and made available to the Senior Appointments Committee of Council (non-Academic).

5.3.5 The designated Vice-Principal or his/her nominee acts as Chairperson of the meeting of the Faculty Board during the consultation process.

5.4 First consideration by the Senior Appointments Committee of Council (non-Academic): Selecting candidates from shortlist for interviews

5.4.1 The available documentation as set out in clause 4.1.6 in respect of all the candidates on the shortlist, as well as the referee reports and the result of the voting by the Faculty Board are subsequently considered at a meeting of the Senior Appointments Committee of Council (non-Academic).

5.4.2 The designated Vice-Principal informs the Senior Appointments Committee of Council (non-Academic) in an appropriate manner of the academic stature and suitability for appointment of the candidates on the shortlist. To this end, the designated Vice-Principal may make additional information about any candidate available to the Senior Appointments Committee of Council (non-Academic), who considers all the available information in respect of the candidates on the shortlist and determines which of the candidates should be called up for interviews.

- 5.4.3 The Senior Appointments Committee of Council (non-Academic) is entitled (but not obliged) to request all candidates on the shortlist to submit themselves to competency assessment to be conducted by a qualified service provider operating in the employment field. The said service provider is to be appointed by the designated Vice-Principal. The report or other formal documentation of the assessment is confidential and will only be available to members of the Senior Appointments Committee of Council (non-Academic). All documentation in this regard must be destroyed after the appointment process is finalised.
- 5.4.4 Should the Senior Appointments Committee of Council (non-Academic) be of the opinion that none of the shortlisted applicants should be called up for interviews in view of the advertised requirements for appointment:
- 5.4.4.1 the appointment process shall commence *de novo* as soon as practicable, while appropriate transitional measures shall, in accordance with the circumstances, be instituted pending the finalisation of the process; or
- 5.4.4.2 the Senior Appointments Committee of Council (non-Academic) shall decide on an appropriate alternative process to proceed with the appointment.
- 5.5 Second consideration by the Senior Appointments Committee of Council (non-Academic): Interviews with candidates selected from shortlist
- 5.5.1 The Senior Appointments Committee of Council (non-Academic) conducts interviews with the candidates selected from the shortlist and may involve external experts for this purpose. Where a Deputy Dean is appointed, the Dean of the relevant Faculty is present at the interviews with the selected candidates
- 5.5.2 After the interviews, and taking into consideration the recommendation of the relevant Dean where a Deputy Dean is appointed, and the results of the competency assessment referred to in clause 4.4.3 above (where applicable), the Senior Appointments Committee of Council (non-Academic) decides, preferably by consensus but if needs be by voting by a show of hands, on the suitability for appointment of the candidates interviewed. Where more than one candidate on the shortlist is found to be suitable for appointment, the Senior Appointments Committee of Council (non-Academic) should indicate the order of preference for appointment from suitable candidates.
- 5.6 Consideration by the Senior Appointments Committee of Council (Academic)
- 5.6.1 Where an external candidate is appointed, or an internal candidate who, in the case of a Dean has not yet attained the rank of full professor and in the case of a Deputy Dean, has not yet attained the rank of full, associate or adjunct professor, the recommendation of the Senior Appointments Committee of Council (non-Academic), together with the self-evaluation, *curricula vitae*, referee reports and peer reviews where applicable of all the candidates interviewed, is submitted to the Senior Appointments Committee of Council (Academic).
- 5.6.2 The Senior Appointments Committee of Council (Academic), in accordance with applicable policy, considers and decides (subject to confirmation by the Vice-Chancellor and Principal) only whether the recommended candidate(s) complies(y) with the requirements for appointment to the appropriate academic rank. Such compliance is a prerequisite for

appointment as Dean or Deputy Dean, as the case may be.

5.7 Competence to finalise the appointment of a Dean and Deputy Dean

5.7.1 Subject to approval by the Senior Appointments Committee of Council (Academic) as set out in clause 4.6 above, the Senior Appointments Committee of Council (non-Academic) approves:

5.7.1.1 the appointment of a suitable person from the candidates interviewed as Dean or Deputy Dean of the relevant faculty. The offer of appointment is made to the candidate who is the first preference from candidates found suitable for appointment. Should the candidate not accept, the offer may be made to the second preferred candidate, where applicable. This is repeated in respect of all the candidates found suitable for appointment. Should none of the candidates approved for appointment accept the offer of appointment, the procedure set out in clause 4.7.1.2 below applies; or

5.7.1.2 not to make any appointment. In such a case the Senior Appointments Committee of Council (non-Academic) may decide to commence with the appointment process as set out in clause 4 herein *de novo* as soon as practicable, or to proceed with an appointment by means of an appropriate alternative process, and the Vice-Chancellor and Principal in consultation with the designated Vice-Principal must make appropriate transitional arrangements according to the circumstances, pending the finalisation of the process.

5.7.2 The decision of the Senior Appointments Committee of Council (non-Academic) is submitted to the Human Resources Committee of Council for information.

5.8 Re-appointment of Deans and Deputy Deans for a second successive term

5.8.1 In the six months before a serving Dean's or Deputy Dean's first term of appointment expires, and where the person concerned has not yet reached the compulsory retirement age, the Vice-Chancellor and Principal confirms whether or not the serving Dean or Deputy Dean is available for a second successive term of appointment.

5.8.2 Where the serving Dean or Deputy Dean is available, the Vice-Chancellor and Principal consults the relevant Faculty Board about possible re-appointment by way of voting by closed ballot by the Faculty Board in favour of or against the re-appointment of the candidate.

5.8.3 The candidate's *curriculum vitae*, self-appraisal by the candidate of his/her expired term, as well as a vision for a further term, are submitted to the Faculty Board. The designated Vice-Principal or his/her nominee acts as Chairperson of the meeting during the consultation process. The result of the voting is communicated to members of the Faculty Board and made available to the Senior Appointments Committee of Council (non-Academic).

5.8.4 Should the Vice-Chancellor and Principal, on the grounds of the advice by the Faculty Board, deem further consultation appropriate, he/she or his or her nominee may, in a manner deemed appropriate by the Vice-Chancellor and Principal, have further consultation with the Heads of Department and Chairpersons of Schools, depending on the case, of the Faculty.

5.8.5 The Senior Appointments Committee of Council (non-Academic) considers (i) the

documentation submitted to the Faculty Board referred to in clause 4.8.3 and (ii) the recommendation of the Faculty Board, as well as (iii) the formal performance appraisal reports of the candidate, and (iv) in the case of a Deputy Dean, a fully substantiated recommendation by the Dean and (v) in the case of a Dean, a recommendation and evaluation by the designated Vice-Principal of the performance of the faculty in respect of matters such as research (including contract research and externally funded research), teaching and learning (e.g. throughput, postgraduate students), employment equity, personnel development (e.g. NRF ratings and qualification profile), and involvement in campus companies during the candidate's previous term of appointment.

5.8.6 The Senior Appointments Committee of Council (non-Academic) may, but is not obliged to, conduct an interview with the candidate. In the case of possible re-appointment of a Deputy Dean, the Dean of the relevant faculty is in all cases present at the interview. The Senior Appointments Committee of Council (non- Academic) then decides, preferably by consensus but if needs be by voting by a show of hands, whether the incumbent is suitable for re-appointment for a second successive term.

5.9 Competence to finalise the re-appointment of a Dean and Deputy Dean

5.9.1 The decision of the Senior Appointments Committee of Council (non-Academic) on the possible re-appointment for a second successive term of a Dean or Deputy Dean is final.

5.9.2 Where the Senior Appointments Committee of Council (non-Academic) decides against extending the appointment of a serving Dean or Deputy Dean for a second term, a vacancy arises which must be filled in accordance with this Regulation and Procedure, and the Vice-Chancellor and Principal in consultation with the designated Vice-Principal must make appropriate transitional arrangements according to circumstances, pending the finalisation of the process.

5.9.3 The decision of the Senior Appointments Committee of Council (non-Academic) is submitted to the Human Resources Committee of Council for information.

5.10 Re-appointment procedure for a further term

5.10.1 When a vacancy arises after expiry of the second successive term of a serving Dean or Deputy Dean, and where the person concerned has not yet reached the compulsory retirement age, such incumbent is free to apply for appointment in the vacancy. The procedure set out in clauses 4.1 to 4.7 shall apply, with the necessary changes, in respect of the consideration of the Dean or Deputy Dean for a further term.

6. CANDIDATES' PARTICIPATION IN PROCEEDINGS

6.1 With regard to proceedings where candidates are discussed and/or votes are cast for them in terms of this Regulation and Procedure, a candidate who is a member of the Selection Committee, the Faculty Board and/or the Senior Appointments Committee of Council (non-Academic) or (Academic) must recuse himself/herself from the proceedings at the relevant body.

7. APPOINTMENT OF ACTING DEAN AND DEPUTY DEAN

- 7.1 The Dean, with the approval of the designated Vice-Principal, may during his/her own and the Deputy Dean's temporary absence, appoint from the ranks of serving School Chairpersons (where applicable) or heads of academic departments in the faculty, an acting Dean or Deputy Dean for a maximum period of three months.
- 7.2 Where necessitated by circumstances during the absence of the Dean and Deputy Dean, the Senior Appointments Committee of Council (non-Academic) may in its discretion appoint an acting Dean or Deputy Dean for periods longer than three months, but not exceeding one year, on the recommendation of the designated Vice-Principal (and in the case of a Deputy Dean, the relevant Dean).

8. TIME FRAME

The Director: Human Resources is responsible for compiling a time frame with a view to implementing and finalising the appointment process.

9. REGULATION/POLICY LIFE CYCLE

This regulation should be reviewed every four (4) years or in the interim if required.

10. DOCUMENT METADATA

| | |
|-------------------------------|-------------------------|
| Document | |
| Number: | R 63/19 |
| Version: | Final |
| Role players | |
| Owner: | Human Resources |
| Author: | Prof C Nicholson |
| Entity of author: | Office of the Registrar |
| Contributor(s): | HR |
| Recommended | |
| Executive | |
| Date: | 10 September 2019 |
| Standing Committee of Council | |
| Date | 30 October 2019 |
| Approval | |
| Council | |
| Meeting reference number: | R 69/19 |
| Date: | 27 November 2019 |
| Announced | |
| Date of announcement: | |
| Effective from | |
| Implementation date: | |
| Review | |
| Next review date: | |
| Last review date: | September 2019 |
| Last reviewer: | Registrar |
| Successions | |

R 63/19

| | |
|--|---------|
| Superseded (this document has been replaced): | |
| Supersede (this document consolidates and replaces): | R 20/11 |
| Revoke | |
| Cancellation date: | |